

Data Enabled Forms in Bankruptcy Petitions

**Executive Office of U.S. Trustees
Administrative Office of U.S. Courts
December 16, 2005**

CM/ECF

● Release 3.0

- January 2006 Solaris
- March 2006 Linux

Release 3.1

This release addresses the statistical gathering requirements of the Bankruptcy Reform Act, as well as, requirements put forth by the Judicial Conference' Committee on the Bankruptcy System. The scheduled court distribution date: **August 2006.**

CM/ECF

● Release 3.0

Features of Interest:

– Case Upload

- Based on the California Southern Bankruptcy Case Upload module, this item on the Bankruptcy Events menu allows an attorney to open a bankruptcy case and file the appropriate documents by providing data, PDF, and text files.

– Claims Batch Filing

- Supports electronic filing of claims information by creditors in batch mode

Case Upload

Bankruptcy Case Information File

Items in red represent changes introduced in Release 3.0

Required	Field Name	Permitted values
Statistics Record		
✓	1 Record type	stat
	2 Company name	(vendor software)
	3 Version	(vendor software)
	4 Date filed	<i>(ignored - uses the current date)</i>
✓	5 Form of origin	(Type of debtor) 1 character from i, c, p, o ; and any or all of n , b, r, s, l, x, h where: i : individual c : corporation p : partnership o : other x : railroad h : healthcare r : single asset real estate s : stockbroker b : commodity broker l : clearing bank n : nonprofit organization
	6 Joint petition	<i>(ignored) Internally, this is determined by the number of debtors listed.</i>
✓	7 Chapter	7, 9, 11, 12, 13, 15 note: 7, 11, 15 are the only valid chapters for an involuntary case

Case Upload continued

- ✓ **8** Fee status i, p, w (installment, pay in full, and in forma pauperis)
Note: w is only valid for voluntary chapter 7 cases
- ✓ **9** Nature of debt b, c (business, consumer)
note: For Chapter 9 and Chapter 12 cases, the only valid choice is "b". For all other chapters, a "b" is valid, c only valid if debtor type equals i.
- ✓ **10** (In)voluntary i, v
11 Reopened *(not used at this time - leave this blank)*
- ✓ **12** Asset notice y, n, u (yes, no, unknown) (If chapter 7, ignored and set to 'n')
- ✓ **13** # of creditors Valid values are:
 - A = 1 - 49 creditors
 - B = 50 - 99 creditors
 - C = 100 - 199 creditors
 - D = 200 - 999 creditors
 - E = 1,000 - 5,000 creditors
 - F = 5,001 - 10,000 creditors
 - G = 10,001 - 25,000 creditors
 - H = 25,001 - 50,000 creditors
 - I = 50,001 - 100,000 creditors
 - J = Over 100,000 creditors
- ✓ **14** Estimated assets 1-8
where:
 - 1 = \$0 - \$50,000
 - 2 = \$50,001 - \$100,000
 - 3 = \$100,001 - \$500,000
 - 4 = \$500,001 - \$1 million
 - 5 = \$1,000,001 - \$10 million
 - 6 = \$10,000,001 - \$50 million
 - 7 = \$50,000,001 - \$100 million
 - 8 = \$100,000,001 and over
- ✓ **15** Estimated debts 1-8
where:
 - 1 = \$0 - \$50,000
 - 2 = \$50,001 - \$100,000
 - 3 = \$100,001 - \$500,000
 - 4 = \$500,001 - \$1 million
 - 5 = \$1,000,001 - \$10 million
 - 6 = \$10,000,001 - \$50 million
 - 7 = \$50,000,001 - \$100 million
 - 8 = \$100,000,001 and over
- ✓ **16** Small business y, n (chapter 11 only)
Note: the petition box for liquidated debts under \$2 million is reported in field 21

Case Upload continued

- ✓ **17** Section 1121 y, n (chapter 11 only)
- 18** (reserved for future use)
- ✓ **19** Certification y, w, u
where:
y = received approved counseling box is checked on petition
w = request a waiver box is checked on petition
u = no box is checked on petition
- ✓ **20** Presumption y, n
Note: from Statement of Current Monthly Income and Means
Test
Calculation
- 21** Liquidated y, n
Debts
Note: from Chapter 11 Debtor's box on front page of petition.
If the
noncontingent liquidated debts less than \$2 million box is
checked, this
field is y otherwise n.

Case Upload continued

Debtor Record

- | | | | |
|----|----|--------------|--|
| ✓ | 1 | Record type | Debt |
| ✓ | 2 | Party role | Accepts any value. Internally set to “db” for the first record, JointDebtorRole or “jdb” for the second. See party role in the alias record. |
| ** | 3 | First name | |
| | 4 | Middle name | |
| ** | 5 | Last name | |
| | 6 | Title | |
| | 7 | Generation | |
| ** | 8 | SSN | |
| ** | 9 | Tax ID | |
| ✓ | 10 | Office code | a code from the “office” codes table |
| ** | 11 | Address 1 | |
| | 12 | Address 2 | |
| | 13 | Address 3 | |
| ** | 14 | City | |
| ** | 15 | State | |
| ** | 16 | Zip | |
| ✓ | 17 | County | a code from the “county” codes table |
| | 18 | Country | |
| | 19 | Phone number | |
| | 20 | Pro Se | (ignored) |
| | 21 | Party text | |

Case Upload continued

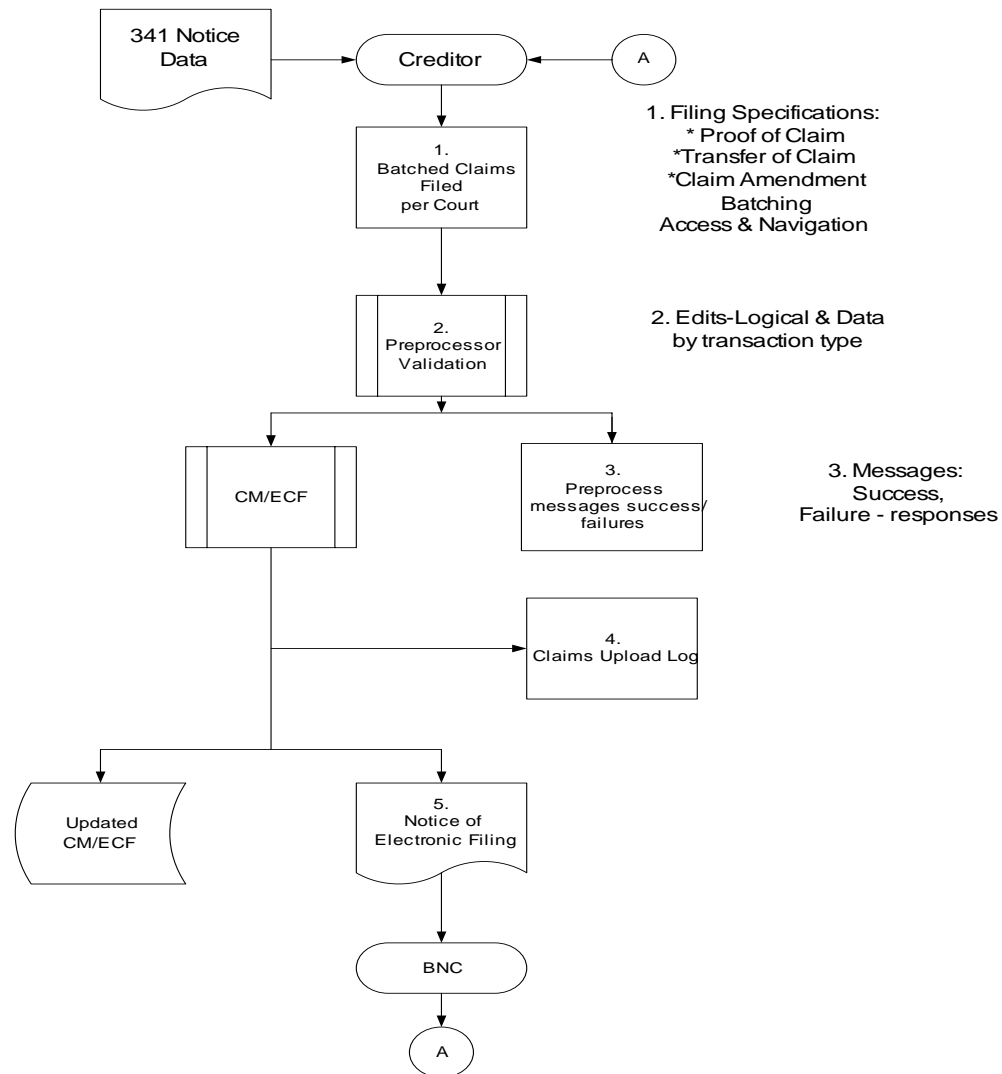
Alias Record *(one per alias)*

- ✓ 1 Record type alas
- ✓ 2 Party role Accepts any value that matches the party role field of one of the debtor records.
- ✓ 3 Alias type a code from the “akatype” codes table
- 4 First name
- 5 Middle name
- ** 6 Last name
- 7 Title
- 8 Generation

** Whether these fields are required depends on the court configuration.

Claims Batch Filing

Processing of Electronic Claims Information



Claims Batch Filing



The screenshot shows a web interface for filing claims. At the top is a blue header bar with the 'ECF' logo, the word 'Bankruptcy', a dot, and the word 'Adversary'. Below the header, the title 'Claims Upload' is displayed in blue. The main section contains a label 'Enter Name of .Zip File' above a text input field. To the right of the input field is a 'Browse' button. Below the input field, an example filename is provided: 'c:\05-12345_bk_1111_1_20051109_093045.Zip'. At the bottom of the form are two buttons: 'Next' and 'Clear'.

ECF Bankruptcy · Adversary

Claims Upload

Enter Name of .Zip File

Browse

Example: c:\05-12345_bk_1111_1_20051109_093045.Zip

Next Clear

- **ZIP file containing XML formatted claims information and PDF formatted document attachments**

Claims Batch Filing



The screenshot shows a web interface for filing claims. At the top is a blue header bar with the text "CM/ECF" in white, followed by "Bankruptcy" and "Adversary" in white. Below the header, the title "Claims Upload" is displayed in blue. The main content area is white and contains the following text: "Claims Upload Date: 03/03/2005 - 3/03/2005", followed by three lines of text with input fields: "___XML files received", "___PDF files received", and "___errors found during pre-validation". Below this, a message states: "The following files failed pre-validation and will not be processed:". Underneath this message is a table with two columns, "File" and "Error", both underlined. At the bottom of the form are two buttons: "Submit" and "Cancel".

CM/ECF Bankruptcy Adversary

Claims Upload

Claims Upload Date: 03/03/2005 - 3/03/2005

___XML files received
___PDF files received
___errors found during pre-validation

The following files failed pre-validation and will not be processed:

<u>File</u>	<u>Error</u>
-------------	--------------

Submit **Cancel**

- **Preprocess validation of XML schema, court, case, and PDF**

Claims Batch Filing

Large Claims Filer — CM/ECF Claims Upload Log

ECF Bankruptcy Adversary Query Reports

Utilities

Your Account
[Change Your PACER Account](#)

Miscellaneous
[Claims Upload Log](#)

ECF Bankruptcy Adversary Query Reports

Claims Upload Log

Start Date: End Date: Sort By:

ECF Bankruptcy Adversary Query Reports

Claims Upload Log

Report Period: 02/10/2004 - 02/15/2005

Sorted By: Case Number

3 Transactions Processed

1 Successful Claim Action(s)

Case	Date Filed	XML File	Action	Notes
04-bk-0221	11/09/2004	04-bk-0221_2468_20041109_093522.xml	Claim Filed	Office: 1 Claim No: 38 Amount: 100.00 Creditor #: 5886235

2 Error(s) — No Update

Case	XML File	Error	Notes
04-bk-0226	04-03226_bk_1_2369_20041109_093523.xml	Unable to add creditor	Office: 1 Date Filed: 11/09/2004
04-bk-0226	04-03226_bk_1_2369_20041109_093529.xml	Unable to add creditor	Office: 1 Date Filed: 11/09/2004

Claims Batch Filing

CM ECF	Bankruptcy	Adversary	Query	Reports
---------------	------------	-----------	-------	---------

Claims Upload Log
Report Period: 02/10/2004 - 02/15/2005
Sorted By: Case Number

3 Transactions Processed

1 Successful Claim Action(s)

Case	Date Filed	XML File	Action	Notes
<u>1:04-bk-10223</u>	11/09/2004	04-10223_bk_1_2369_20041109_093522.xml	Claim Filed	Office: 1 Claim No: 38 Amount: 100.00 Creditor #: 5896235

2 Error(s) – No Update

Case	XML File	Error	Notes
<u>1:04-bk-33226</u>	04-33226_bk_1_2369_20041109_093523.xml	Unable to add creditor	Office: 1 Date Filed: 11/09/2004
<u>1:04-bk-33226</u>	04-33226_bk_1_2369_20041109_093529.xml	Unable to add creditor	Office: 1 Date Filed: 11/09/2004

Claims Batch Filing

Example – File a claim and add a new Creditor

```
<claim caseNumber="01-12345" district="1111" office="1"
caseType="bk">
  <userName>jonesr</userName>
  <courtFiling>
    <claimFunction name="addClaim">
      <claimedUnsecured>3000.00</claimedUnsecured>
      <claimedSecured>1000.00</claimedSecured>
      <claimDescription>Claim Filed</claimDescription>
      <claimRemarks>Remarks Added</claimRemarks>
    </claimFunction>
    <claimFunction name="claimAttachDoc">

<pdfDocument>01-12345_bk_1_1111_20050801_0748.pdf
</pdfDocument>
      <description>Main Document</description>
    </claimFunction>
    <claimFunction name="addCreditor">
      <creditorFullName>Jan Carson</creditorFullName>
      <creditorAddress1>Southby
Florists</creditorAddress1>
      <creditorAddress2>342 East Lexington
Boulevard</creditorAddress2>
      <creditorAddress3>Granville, MS
69504</creditorAddress3>
    </claimFunction>
  </courtFiling>
</claim>
```



FINIS